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Building rapid diagnostics of social protection systems
An introduction to CODI

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Building rapid diagnostics of social protection systems
An introduction to CODI

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Building rapid diagnostics of social protection systems: An introduction to CODI

Moderator

*Luz Rodriguez, Social Protection Specialist, World Bank*

Luz Rodriguez has been working on public policy and social protection since 1994. She began her career in the Ministry of Finance of Colombia and later she worked for several years at the National Planning Department (DNP) in the design and implementation of social policies. As government official, she has extensive experience in the design, implementation and evaluation of public programs, primarily in the social protection sector. Luz has worked for international organizations (including the IDB, the IOM, the UNDP and the World Bank) and consulting firms. Currently Luz is a Social Protection Specialist at the World Bank and together with Veronika Wodsak from ILO, coordinates the Interagency Social Protection Assessments (ISPA) initiative that aims to develop tools to support countries improving harmonization of Social Protection System. Luz has worked directly in Canada, Colombia, Ecuador, Indonesia, Tanzania, the Philippines and Paraguay. Luz holds a M. Sc. in Planning from the University of Toronto in Canada, a MA in Political Economy from the University of Essex in England and a BA in Finance and International Relations from the University Externado de Colombia in Bogota.
Building rapid diagnostics of social protection systems: An introduction to CODI

Speaker
Veronika Wodsak, Social Security Expert, ILO

Ms Wodsak works for the ILO Social Protection Department since 2007 in various functions, including Health Policy Officer, Social Protection Floor Officer and Social Security Expert amongst other responsibilities, she was part of the team that supported the development and follow-up of the Social Protection Floors Recommendation (R.202). Currently, she is leading the ILO work on the ISPA tools, and, jointly with the World Bank, the ISPA Coordination Team. She participated in all the working groups developing ISPA tools and is responsible for the work on the Social Protection Policy Options (SPPOT) tool.

Ms Wodsak holds a B.A. in International Relations from the University of Kent at Canterbury and an M.A. in International Relations from Queen's University (Ontario);

She has worked as a Researcher on Global Social Policy at Bielefeld University as well as a Research Assistant at the World Bank Social Development Department.
ISPA tools

What is the Core Diagnostic Tool - CODI?

July 6th, 2017
1. About ISPA

2. What is the Core Diagnostic Instrument (CODI)?

3. Framework of analysis: 18 key areas across three modules

4. Analysis of SP system performance across 10 CODI assessment criteria

5. Q&A
ABOUT ISPA

ISPA tools address challenges governments face regarding their social protection systems
FRAGMENTATION...

...of **social protection systems** often produces inefficiencies and duplications as well as hampering accessibility of programmes.
Social protection programmes often suffer from DESIGN FLAWS…

…and do not address the social protection needs of the population
Social protection systems and donor support often suffer from... 

...a lack of coordination
Countries seek guidance from development partners to ....

- Assess / analyse their SP systems
- Design/reform National SP system
- Strengthen SP administration and delivery systems:
  - Identification systems
  - SP Payments platforms
  - Improving governance and administration
- Evaluate impact and monitor SP programmes
…ISPA TOOLS’ OBJECTIVES ARE:

1. Help countries to improve their Social Protection systems by providing a coherent framework for sound analysis of their SP systems, SP programs and Delivery systems.

2. Help countries to identify policy options to improve the design and delivery of their SP programs.
What does an ISPA tool include?

1. **“What Matters” Guidance**
   - Lays technical foundation for assessment
   - Provides good practices from international experience
   - Provides instructions to gather information
   - Describes how the assessment is organized

2. **Questionnaire**
   - Gathers qualitative and quantitative information

3. **Assessment Matrix**
   - Assesses against the agreed criteria on a four point scale

4. **Country Report**
   - Presents the findings
   - Highlights strengths and weaknesses in relation to good international practice
   - Summarizes complex landscape of policies and institutions
   - Provide policy options to be used as jumping off point for future dialogue between stakeholders

5. **Implementation Guidelines**
   - Outlines the process of application of ISPA tools from start to completion
ISPA TOOLS AVAILABLE TODAY

Download here: www.ispatoools.org

Available in
- Arabic
- French
- Spanish
WHAT IS THE CORE DIAGNOSTIC INSTRUMENT?
CODI provides a coherent framework for a systematic analysis of SP systems

The framework facilitates carrying out the following steps:

1. **Mapping** of the elements of the national social protection system

2. **Analysis of the SP system performance** against national objectives and an agreed standardized set of agreed CODI criteria

3. **Identification of a set of entry level policy reform options**

Promotion of **dialogue, exchange & coordination** between national & international partners
MAPPING “KEY AREAS”
3 modules
18 Key areas

Policy
- Legal & Policy Framework
- Needs of the Population
- Policymaking Process
- Policy Implementation & Institutional Capacity
- Public Expenditure & Financing
- Information & Awareness
- Monitoring & Evaluation

Program Design
- Eligibility Criteria
- Benefit Design
- Expenditures & Financing
- Incentives

Program Implementation
- Identification
- Eligibility Verification
- Enrolment
- Benefit Delivery
- Monitoring & Evaluation
- Complaint & Appeals
The questionnaire is organized according to the key areas – some examples

<table>
<thead>
<tr>
<th>1.A</th>
<th>National Legal and Policy Frameworks</th>
<th>Response</th>
<th>Source</th>
<th>Assessment Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>What are the key laws and other acts regulating SP policies and their financing and implementation? (Please list and provide text or link)</td>
<td>Text</td>
<td>Ministry</td>
<td>Rights and Dignity, Governance</td>
</tr>
<tr>
<td>2</td>
<td>General provisions - i.e. laws setting out the overall objectives and the types and schemes and programs that form part of the SP system (Constitutional Law, Social Security Law, Labour Codes, etc.)</td>
<td>Ministry</td>
<td>Rights and Dignity, Coherence and Integration</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Specific laws by function (i.e. laws containing benefit parameters - range, qualifying conditions, benefit levels, etc...)</td>
<td>Ministry</td>
<td>Rights and Dignity, Adequacy, Inclusiveness</td>
<td></td>
</tr>
</tbody>
</table>

- Poverty and social exclusion
- Medical care
- Children/ family
- Maternity
- Sickness
- Unemployment
- Employment injury
- Disability
- Survivors
- Old-age
- Housing
- ALMPs
The questionnaire is organized according to the key areas – some examples

<table>
<thead>
<tr>
<th></th>
<th>National Legal and Policy Frameworks</th>
<th>Response</th>
<th>Source</th>
<th>Assessment Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.A</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>4</td>
<td>Laws related to the implementation, administration, financing and delivery (including accountability mechanisms and relevant bodies/actors)</td>
<td></td>
<td>Ministry</td>
<td>Rights and Dignity, Governance</td>
</tr>
<tr>
<td>5</td>
<td>Laws related to monitoring and reporting mechanisms</td>
<td></td>
<td>Ministry</td>
<td>Rights and Dignity, Governance</td>
</tr>
</tbody>
</table>
**Questionnaire examples (2)**

<table>
<thead>
<tr>
<th>8.A.</th>
<th>Eligibility Criteria</th>
<th>Response</th>
<th>Source</th>
<th>Relevant assessment Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>22</td>
<td>What are the program’s eligibility criteria? (List separately for each benefit, if qualifying conditions are different)</td>
<td>Multiple choice</td>
<td>Programme staff / admin records</td>
<td>Inclusiveness, Adequacy, Appropriateness</td>
</tr>
<tr>
<td></td>
<td>*Poverty/income status</td>
<td>Yes / No</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>*Demographic characteristics (gender, marital status, age)</td>
<td>Yes / No</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>* Education attainment</td>
<td>Yes / No</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>* Employment status</td>
<td>Yes / No</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>* Sector of activity</td>
<td>Yes / No</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>* Duration / number years of contributions</td>
<td>Yes / No</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>*Geographic location</td>
<td>Yes / No</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>* Health status</td>
<td>Yes / No</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>* Belonging to a particular group (disabled, refugees, IDPs, disaster victims, conflict victims, ethnicity etc.)</td>
<td>Yes / No</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>* Other, specify</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>B.A.</td>
<td>Eligibility Criteria</td>
<td>Response</td>
<td>Source</td>
<td>Relevant assessment Criteria</td>
</tr>
<tr>
<td>------</td>
<td>----------------------</td>
<td>----------</td>
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<td>-----------------------------</td>
</tr>
<tr>
<td>23</td>
<td>What measures (rules/regulations/operational manual) are in place to ensure that the eligibility criteria take into consideration?</td>
<td>Analysis / Interview question</td>
<td>Rights and Dignity, Inclusiveness</td>
<td></td>
</tr>
<tr>
<td></td>
<td>*gender equality</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>*forms of discrimination</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>*special needs of the population</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>*socioeconomic characteristics of persons covered (e.g. does the pension age reflect working capacity and life expectancy)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>*rights and dignity of the persons covered</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>24</td>
<td>Are there automatic disqualifiers to register with a programme and/or receive benefits? e.g. if you have a laptop you are automatically out.</td>
<td>Programme staff / admin records</td>
<td>Rights and Dignity, Inclusiveness</td>
<td></td>
</tr>
<tr>
<td></td>
<td>*If yes, please specify</td>
<td>Text</td>
<td></td>
<td></td>
</tr>
<tr>
<td>25</td>
<td>For contributory health systems: are family member automatically covered for free / at a reduced rate?</td>
<td>Yes/No</td>
<td>Programme staff / Inclusiveness admin records</td>
<td></td>
</tr>
<tr>
<td><strong>15.A</strong></td>
<td><strong>Benefit Delivery</strong></td>
<td><strong>Responses</strong></td>
<td><strong>Source</strong></td>
<td><strong>Relevant assessment Criteria</strong></td>
</tr>
<tr>
<td>---</td>
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</tr>
<tr>
<td>164 For cash benefits: What is the delivery mechanism for paying the benefit? Is the delivery mechanism prescribed by law? Describe responsible agencies and payment modalities:</td>
<td>Programme staff / admin records</td>
<td>Governance, Appropriateness</td>
<td></td>
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<tr>
<td>*in cash</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>*into bank accounts</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>*electronically through other means (smart cards, mobile phones)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>For in kind benefits: What is the delivery mechanism for delivering the benefit? - Describe the responsible agencies</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>165 In the case of in-kind benefits (e.g., food) or services (e.g., medical services), is the delivery of these benefits verified electronically?</td>
<td>Yes-Partially-No</td>
<td>Programme staff / admin records</td>
<td>Governance, Appropriateness, Cost effectiveness</td>
<td></td>
</tr>
<tr>
<td>166 What is the method of verification (PIN, biometric, other)?</td>
<td>Text</td>
<td>Programme staff / admin records</td>
<td>Governance, Appropriateness, Cost effectiveness</td>
<td></td>
</tr>
<tr>
<td>167 How quickly is this information generated and available to the program administration?</td>
<td>Text</td>
<td>Programme staff / admin records</td>
<td>Governance, Appropriateness, Cost effectiveness</td>
<td></td>
</tr>
<tr>
<td>168 Is this information used to compensate providers/distributors?</td>
<td>Yes-Partially-No</td>
<td>Programme staff / admin records</td>
<td>Governance, Appropriateness, Cost effectiveness</td>
<td></td>
</tr>
</tbody>
</table>
ANALYSIS OF SP SYSTEM PERFORMANCE (CODI ASSESSMENT CRITERIA)
10 criteria to analyze the performance of the social protection system

1. Inclusiveness – who is covered?
2. Adequacy – what benefits are provided?
3. Appropriateness – do benefits and national policy objectives address actual needs?
4. Respect for Rights and Dignity
5. Governance and Institutional Capacity
6. Financial and Fiscal Stability
7. Coherence and Integration – internally and across different policy areas
8. Responsiveness – to shocks and to demographic, social or economic developments
9. Cost-Effectiveness
10. Incentive Compatibility
1. Inclusiveness

The social protection system should guarantee that everyone is protected along the life cycle, including the poorest and most vulnerable. This entails ensuring nondiscrimination, gender equality, responsiveness to special needs, availability of and accessibility of programs and benefits.
Programs provide regular and predictable benefits and quality services that are adequate to meet the needs of the population and achieve national/program objectives, i.e. as a minimum, they ensure income security (for contributory benefits: income replacement), access to health and other services along the life cycle.
3. Appropriateness

The SP system ensures optimal protection to fulfil the SP needs of the population. At policy level, this means the formulation of clear and realistic targets and timeframes to better address SP needs over time, taking into account financial and institutional capacity. Policy decisions are guided by evidence.
Entitlements to benefits are anchored in law, specifying the range, qualifying conditions, and levels of the benefits. The general public is well informed about SP measures. Programs and benefits design and their delivery are in line with human rights standards and principles, including the protection of private individual information. Enforcement mechanisms are in place and efficient and accessible complaint and appeal procedures are available.
The SP governance framework has

- Internal rules that specify the roles and responsibilities of actors involved in social protection
- Channels to inform stakeholders and structures that enable them to participate in the design, implementation, and monitoring of social protection programs
- Accurate, reliable, accountable, and transparent financial and delivery systems that minimize errors, fraud, and mismanagement
- Institutional capacity (appropriate equipment and an adequate number of staff with the right set of skills and training)
- A diversity of financing and delivery mechanisms, high quality public services, and effective enforcement mechanisms
6. Financial and fiscal sustainability

The financial resources raised and allocated are aligned with actual and expected program outcomes, demographic patterns, and economic development. Contributions are designed based on beneficiaries’ contributory capacity. Budgets are executed as planned.

There is a clear plan for phasing out external financial support. Legal and institutional frameworks should articulate the long term financial requirements to ensure long term funding commitments.
Social protection policies are balanced with related social, economic, and sectoral policies (external coherence) and the set of existing programs complement each other (internal coherence). Coordination is ensured across institutions responsible for the design, administration, and delivery of social protection programs. Common/shared delivery systems minimize the administrative resources required to implement individual programs. As a result, fragmentation, overlaps, and duplication are minimized.
8. Responsiveness

Flexibility to evolve and adapt the balance and scale of programs in light of changing social protection needs arising from socioeconomic, sociodemographic, natural or political developments (rapid response or longer term adjustments).

Responsiveness requires regular monitoring and periodic evaluation of these developments as well as of the social protection programs and schemes.
Delivery systems implement existing programs with the minimum resources required to achieve the desired impact and reduce the cost for beneficiaries to access social protection programs. Cost-effectiveness refers both to the efficiency (how efficiently inputs are employed to produce outputs) & to the effectiveness (changes in system outcomes per unit of input).
Incentives for persons of working age to work, save, participate in risk-pooling arrangements; incentives for employers to register their workers and pay the required contributions, for tax authorities to collect the required contributions; for social protection service providers to enroll all eligible beneficiaries and provide good quality services and for eligible beneficiaries to become a member of a scheme and take up benefits.
### 1. Inclusiveness

Refers to the system’s capacity to protect all members of society along the life cycle with special consideration for the most vulnerable.

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Latent</th>
<th>...</th>
<th>...</th>
<th>Advanced</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gender equality, non-discrimination, and special needs</td>
<td>Gender equality, non-discrimination, and special needs of vulnerable persons are not taken into consideration in social protection laws, policies, strategies, and programs’ design, nor in practice in the implementation.</td>
<td>Only for few programs, gender equality, non-discrimination, and special needs of vulnerable persons are taken into consideration in social protection laws, policies, strategies, programs’ design, and in practice.</td>
<td>Gender equality, non-discrimination, and special needs of vulnerable persons are taken into consideration in some programs’ design and implementation and related legal provisions exist for a majority of programs.</td>
<td>Gender equality, non-discrimination, and special needs of vulnerable persons are taken into consideration in the majority programs’ design and implementation and related legal provisions exist for all programs.</td>
</tr>
<tr>
<td>Effective coverage</td>
<td>Most of target and potentially eligible population is excluded in practice from receiving benefits when a contingency occurs.</td>
<td>Less than half of all eligible population receives benefits in practice.</td>
<td>A majority of potential eligible population receives benefits in practice.</td>
<td>Practically all eligible population receive benefits in practice.</td>
</tr>
<tr>
<td>Accessibility</td>
<td>Important impasses in accessing social protection programs exist due to high transaction costs. For example: the inability to enroll, long periods between enrollment rounds, and/or lack of awareness among potential beneficiaries.</td>
<td>Access to social protection programs is a challenge due to moderate transaction costs. For example: the modest information campaign or irregular rounds of enrollment with no or limited access to individually request for enrollment.</td>
<td>Almost universal awareness of social protection programs. For example due to effective communication, good access to enrollment process, proactive efforts to minimize enrollment cost to beneficiary, and short periods between enrollment rounds with possibility for enrollment at individual requests.</td>
<td>Proactive measures minimize costs to beneficiary. For example, to facilitate enrollment processes, rolling updates or automatic enrollment (i.e. through employment contracts), effective, tailored, and timely communication lead to universal awareness.</td>
</tr>
</tbody>
</table>
Application of CODI

Planning and preparation

Pre-population of questionnaire and desk review

Data collection

Assessment

Country Report

Details for each step are provided in the implementation guidelines
ISPA tools are based on existing information and do not replace in-depth research.

The findings cannot be used to ‘rank’ between countries but to track progress over time within countries.

ISPA tools need to be adapted to the country context before their application at national level.

ISPA TOOLS ARE AVAILABLE FOR YOU TO USE NOW!
WHATS NEXT?

JULY 2017

French & Spanish versions of CODI available in www.ispatools.org

UPCOMING WEBINARS

July 13th, The experience of applying CODI in Belize

follow us @ISPA_tools
QUESTIONS?
LEARN MORE:

ISPATools.org

Please navigate to the ISPA website, where you can learn more about the ISPA initiative, the ISPA tools, and how to get involved with improving social protection for all.

follow the conversation #ISPA_tools

Contact us: info@ispatools.org
wodsak@ilo.org & lrodriguez3@worldbank.org
Questions and Answers

Veronika Wodsak  Luz Rodriguez

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